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P24817.P01

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P24817

Total Pages

Inventor(s) or Application Identifier:

Kenzo YAMANAKA, Koichi MARUYAMA, and Shuichi TAKEUCHI

Title: OPTICAL SYSTEM OF OPTICAL PICK-UP

ADDRESS TO:

Commissioner for Patents  
Mail Stop Patent Application  
PO Box 1450  
Alexandria, VA 22313-1450

## APPLICATION ELEMENTS

## ACCOMPANYING APPLICATION PARTS

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  - a. ☐ Small Entity Statement(s)
3. ☒ Specification [Total Pages 58]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 4]
5. ☒ Oath or Declaration [Total Pages 4]
  - a. ☒ Newly executed (original or copy) ☐ Unexecuted
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 20 completed)  
[Note Box 6 below]
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Incorporation By Reference (useable if Box 5b is checked)  
The entire disclosure of the prior application, from which a  
copy of the oath or declaration is supplied under Box 5b, is  
considered as being part of the disclosure of the accompanying  
application and is hereby incorporated by reference therein.
7. ☐ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer  
Program (Appendix)

9. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies
10. ☒ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
12. ☐ English Translation Document (if applicable)
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
14. ☒ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
16. ☒ Figure of Drawing to be published: 1
17. ☒ Foreign priority claimed
  - a. ☒ Claim of Priority
  - b. ☒ Certified Copy of Priority Document(s)
18. ☐ Nonpublication Request under 35 U.S.C. 122 (b) (2) (B) (i).  
Applicant must attach form PTO/SB/35 or its equivalent.
19. ☒ Assignee: PENTAX Corporation, of Tokyo, Japan
20. ☒ Other: Cover Letter Regarding Executed Application

21. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No. \_\_\_\_\_ filed \_\_\_\_\_  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

Address all future correspondence to **Customer No. 7055** at the present address of:

GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

Date

Signature

Bruce H. Bernstein, Reg. No. 29,027  
Typed or Printed Name

## FEE TRANSMITTAL

Application Number

Not Yet Assigned

Filing Date

Concurrently Herewith

First Named Inventor

Kenzo YAMANAKA et al.

Group Art Unit

Unassigned

Examiner Name

Unassigned

TOTAL AMOUNT OF PAYMENT

(\$1,022.00)

Attorney Docket Number

P24817

## METHOD OF PAYMENT (check one)

## FEE CALCULATION (continued)

1. ☒ The U.S. Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future

reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))

- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

- ☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION (fees effective 10/01/03)

## 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) 770.00

## 2. CLAIMS

Total Claims	Extra	Fee from below	Fee Paid
27	-20=	7 x 18	126.00
4	-3=	1 x 86	86.00
Multiple Dependent Claims	0	x 290	0.00

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 212.00

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR	
1805	1,840*	1805	1,840*	Prior to Examiner action	
1251	110	2251	55	Requesting publication of SIR after Examiner action	
1252	420	2252	210	Extension for response within 1st month	
1253	950	2253	475	Extension for response within 2nd month	
1254	1,480	2254	740	Extension for response within 3rd month	
1255	2,010	2255	1,005	Extension for response within 4th month	
1401	330	2401	165	Extension for response within 5th month	
1402	330	2402	165	Notice of Appeal	
1403	290	2403	145	Filing a brief in support of an appeal	
1451	1,510	1451	1,510	Request for oral hearing	
1452	110	2452	55	Petition to institute a public use proceeding	
1453	1,330	2453	665	Petition to revive unavoidably abandoned application	
1501	1,330	2501	665	Petition to revive unintentionally abandoned application	
1502	480	2502	240	Utility issue fee (or reissue)	
1503	640	2503	320	Design issue fee	
1460	130	1460	130	Plant issue fee	
1807	50	1807	50	Petitions to the Commissioner	
1806	180	1806	180	Petitions related to provisional applications	
8021	40	8021	40	Submission of IDS	
1809	770	2809	385	Recording each patent assignment per property (times number of properties)	40.00
1810	770	2810	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1801	770	2801	385	For each additional invention to be examined (37 CFR 1.129(b))	
1802	900	1802	900	Request for Continued Examination (RCE)	
				Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) (\$) 40.00

\*Reduced by Basic Filing Fee paid

## SUBMITTED BY

## Complete (if applicable)

Typed or Printed Name

Bruce H. Bernstein

Reg. Number

29,027

Signature

Date

4/23/04

Deposit Account User ID

P24817.A01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants :Kenzo YAMANAKA et al.

Applications Branch

Appln. No. : Not yet assigned

Filed : Concurrently herewith

For : OPTICAL SYSTEM OF OPTICAL PICK-UP

**COVER LETTER REGARDING EXECUTED APPLICATION**

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

The undersigned points out that the executed application being filed herewith includes pages 1 - 4 of the executed declaration which were forwarded to the undersigned by Applicants' Japanese representative on April 16, 2004, and pages 1 - 58 of the specification (with Figures 1 - 4) which were earlier forwarded to the undersigned by facsimile by Applicants' Japanese representative on April 14, 2004. Further, the undersigned has been advised by the Japanese representative that the inventors had reviewed the application before executing the declaration.

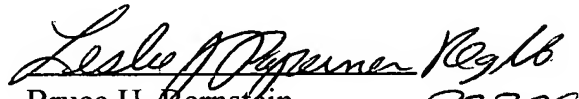
Accordingly, Applicants respectfully submit that the present application is properly executed and should be considered as filed in executed form. However, if the U.S. Patent and Trademark Office determines that the present application is not properly executed,

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Applicants respectfully request that the present application be treated as an unexecuted application under 37 C.F.R. 1.53(f).

Should there be any questions regarding this paper, please contact the undersigned at the below listed number.

Respectfully submitted,  
Kenzo YAMANAKA et al.

  
Bruce H. Bernstein  
Reg. No. 29,027

Reg 16  
33,329

April 20, 2004  
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